

## **APPENDIX B**



# CompliancePro™

*The industry leader in automated compliance monitoring*

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## About Us

[History](#)

ABS Proactive, LLC was established in 1992 to provide an automated comprehensive tool for compliance self-assessments and audits for financial institutions in the United States. Our software, CompliancePro, allows institutions to prepare and document their compliance and audit efforts for federal regulatory examiners and third party auditors. CompliancePro is currently in place in over 300 financial institutions nationwide.

Our customers range in size from \$20 million in assets to over \$40 billion. As part of their risk management process, all institutions, regardless of size must have an effective compliance and audit program in place as mandated by the federal regulators. ABS Proactive, LLC provides a tool to assist both the compliance professional and auditor to better manage risk in these areas for the institution.

FIGURE 1

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## Products

## Compliance

### Compliance Monitoring Systems (Bank & Thrift)

CompliancePro™ is a unique, Windows-based software program that combines consumer regulatory procedures into a single system. It combines ABS Proactive, LLC's extensive database of procedures with the latest Windows technology: Windows 95, Windows 98, and Windows NT. CompliancePro is a fully automated, menu driven system, which enables you to effectively and efficiently administer and monitor compliance performance throughout your institution.

In addition to use of risk rates and the testing calendar already provided in the software, financial institutions may also customize the software to add their own content (state regulations or bank policy items). This allows the software to truly reflect the compliance or audit position of the institution.

**FIGURE 2**

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## Products

[Audit](#)

### Internal Audit System

CompliancePro™ is a unique, Windows-based software program that combines internal audit procedures into a single system. It combines ABS Proactive, LLC's extensive database of procedures with the latest Windows technology: Windows 95, Windows 98, and Windows NT. CompliancePro is a fully automated, menu driven system which enables you to effectively and efficiently audit the financial institution's policies, procedures and internal controls to ensure that the institution's internal control structure is adequate and functions in accordance with sound accounting and reporting controls.

In addition to use of risk rates and the testing calendar already provided in the software, financial institutions may also customize the software to add their own content (state regulations or bank policy items). This allows the software to truly reflect the compliance or audit position of the institution.

FIGURE 3

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